

Full Text PA-95-052

ACADEMIC CAREER AWARD

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National Institute on Aging

National Institute on Alcohol Abuse and Alcoholism

National Institute of Arthritis and Musculoskeletal and Skin Diseases

National Cancer Institute

National Institute of Environmental Health Sciences

National Institute of Mental Health

Application Receipt Dates: February 1, June 1, and October 1

PURPOSE

The Academic Career Award (K07) is used by the NIH Institutes and Centers to support individuals interested in introducing or improving curriculum in a particular scientific field as a means of enhancing the educational or research capacity at the grantee institution. Since not all of the NIH Institutes and Centers offer this award, potential applicants should contact the appropriate NIH program staff listed at the end of this program announcement, prior to preparing an application.

This Academic Career Award (K07) supports two types of activities:

Development. The K07 provides support for more junior candidates who are interested in developing an academic and research expertise in a particular field, as a way to increase the overall pool of individuals capable of research or teaching in the identified area.

During the period of the award, the candidate will become a successful academician in the chosen area. Teaching, curriculum building, research, and leadership skills are to be learned during the tenure of the award. For junior candidates, a mentor is required.

Leadership. The K07 also supports more senior individuals with acknowledged scientific expertise and leadership skills who are interested in improving the curricula and enhancing the research capacity within an academic institution. It is expected that support under this award will increase the visibility and the overall research support or academic capacity for the given field of research within the academic medical/health and research community. Not all of the NIH awarding components support the K07 or both components of this award. For example, the National Institute of Mental Health does not support the leadership component of this award. Applicants are strongly encouraged to contact the prospective NIH awarding component prior to preparing an application.

The NIH recently reviewed its career awards (K-series) used to develop the research capabilities of clinicians and other scientists needed to carry out the nation's research mission in the biomedical and behavioral sciences. This evaluation resulted in several changes: (1) the total number of K mechanisms were reduced from 19 to six; (2) the review criteria were refined to clarify the career development goals of the K award; and (3) K award applications will be assigned to initial review groups managed by the prospective funding institute or center to which the application has been assigned.

HEALTHY PEOPLE 2000

The Public Health Service (PHS) is committed to achieving the health promotion and disease prevention objectives of "Healthy People 2000," a PHS-led national activity for setting priority areas. This PA, Academic Career Award, is related to the priority area of human resource development. Potential applicants may obtain a copy of "Healthy People 2000" (Full Report: Stock No. 017-001-00474-0 or Summary Report: Stock No. 017-001-00473-1) from the Superintendent of Documents, Government Printing Office, Washington, DC 20402-9325 (telephone 202/783-3238).

ELIGIBILITY REQUIREMENTS

Candidates for this award must have a clinical or research doctoral degree. Candidates for the development award must demonstrate the potential to develop into an excellent academician, in the fields of interest to the NIH awarding institute or center. Candidates must be able to identify a

mentor who is an expert in the research field of interest and has a record of providing the type of supervision required by this award. Candidates must also be able to devote at least 75 percent of full-time professional effort to the research and developmental programs required for academic development.

Candidates for the leadership award must have sufficient clinical training, research, or teaching experience in the academic area of interest to the NIH to implement a program of curriculum development within the applicant institution; must have an academic appointment at a level sufficient to enable her/him to exert an influence on the coordination of research, teaching, and clinical practice in an emerging field; and must be in a position to devote at least 25 percent effort to the program, a portion of which may include research.

Applications may be submitted, on behalf of candidates, by domestic, non-Federal organizations, public or private, such as medical, dental, or nursing schools or other institutions of higher education. Minorities and women are encouraged to apply. Candidates must be U.S. citizens or noncitizen nationals, or must have been lawfully admitted for permanent residence and possess an Alien Registration Receipt Card (I-151 or I-551) or some other verification of legal admission as a permanent resident. Noncitizen nationals, although not U.S. citizens, owe permanent allegiance to the U.S. They are usually born in lands that are not states but are under U.S. sovereignty, jurisdiction, or administration. Individuals on temporary or student visas are not eligible.

MECHANISM OF SUPPORT

Awards in response to this PA will use the K07 mechanism. Planning, direction, and execution of the program will be the responsibility of the candidate. However, the institution must demonstrate a commitment to the candidate and the candidate's goals for career development. The project period is five years for the development award and two to five years for the leadership award. Awards are renewable at the discretion of the NIH awarding unit.

RESEARCH OBJECTIVES

A. Environment: The institution must be able to demonstrate a commitment to research in the area of interest to the NIH and must remain committed to the career development of the candidate. The institution must provide assurance that the candidate is an integral part of its research and academic programs.

B. Program: The award supports up to five consecutive 12 month appointments for the duration of the grant. For the development award, applicants are expected to commit at least 75 percent of full-time professional effort to the career development program. The remainder may be devoted to other research-related and/or teaching pursuits consonant with the objectives of the award. For the leadership award, applicants are expected to commit at least 25 percent effort.

C. Mentor: For the development award, the recipient must receive appropriate mentoring throughout the award. Where feasible, women and minority mentors should be involved as role models.

D. Allowable Costs

1. Salary: The NIH will provide salary and fringe benefits for the K recipient. The salary limits are not uniform throughout the NIH and are determined independently by each component of the NIH. Therefore, prospective candidates should contact the NIH component to which the application is targeted to ascertain the maximum contribution to the candidate's salary.

The institution may supplement the NIH contribution up to a level that is consistent with the institution's salary scale; however, supplementation may not be from Federal funds unless specifically authorized by the Federal program from which such funds are derived. In no case, may PHS funds be used for salary supplementation. Institutional supplementation of salary must not require extra duties or responsibilities that would interfere with the purpose of the Academic Award. Under expanded authorities, however, institutions may rebudget funds within the total costs awarded to cover salaries consistent with the institution's salary scale.

The total salary requested must be based on a full-time, 12-month staff appointment. It must be consistent both with the established salary structure at the institution and with salaries actually provided by the institution from its own funds to other staff members of equivalent qualifications, rank, and responsibilities in the department concerned. If full-time, 12-month salaries are not currently paid to comparable staff members, the salary proposed must be appropriately related to the existing salary structure.

2. Research Support: Research expenses and career development costs may be provided at the discretion of the NIH institute or center. Applicants should contact the relevant NIH institute or center program staff for additional information.

3. Ancillary Personnel Support: Salary for mentors or for secretarial, technical, and/or administrative assistance, etc., is not allowed.

4. Indirect costs: Indirect costs will be reimbursed at 8 percent of modified total direct costs, or at the actual indirect cost rate, whichever is less.

E. Evaluation: In carrying out its stewardship of human resource related programs the NIH may begin requesting information essential to an assessment of the effectiveness of this program. Accordingly, recipients are hereby notified, that they may be contacted after the completion of this award for periodic updates on various aspects of their employment history, publications, support from research grants or contracts, honors and awards, professional activities, and other information helpful in evaluating the impact of the program.

F. Other Income: Fees resulting from clinical practice, professional consultation, or other comparable activities required by the research and research-related activities of this award may not be retained by the career award recipient. Such fees must be assigned to the grantee institution for disposition by any of the following methods:

The funds may be expended by the grantee institution in accordance with the NIH policy on supplementation of career award salaries and to provide fringe benefits in proportion to such supplementation. Such salary supplementation and fringe benefit payments must be within the established policies of the grantee institution.

The funds may be used for health-related research purposes.

The funds may be paid to miscellaneous receipts of the U.S. Treasury. Checks should be made payable to the Department of Health and Human Services, NIH and forwarded to the Director, Division of Financial Management, NIH, Bethesda, Maryland 20892. Checks must identify the relevant award account and reason for the payment.

Awardees may retain royalties and fees for activities such as scholarly writing, service on advisory groups, or honoraria from other institutions for lectures or seminars, provided these activities remain incidental and provided that the retention of such pay is consistent with the policies and practices of the grantee institution.

Usually, funds budgeted in an NIH supported research or research training grant for the salaries or fringe benefits of individuals, but freed as a result of a career award, may not be rebudgeted.

The awarding component will give consideration to approval for the use of released funds only under unusual circumstances. Any proposed retention of funds released as a result of a career award must receive prior written approval of the NIH awarding component.

G. Special Leave: Leave to another institution, including a foreign laboratory, may be permitted if directly related to the purpose of the award. Only local, institutional approval is required if such leave does not exceed 3 months. For longer periods, prior written approval of the NIH funding component is required. To obtain prior approval, the award recipient must submit a letter to the NIH describing the plan, countersigned by his or her department head and the appropriate institutional official. A copy of a letter or other evidence from the institution where the leave is to be taken must be submitted to assure that satisfactory arrangements have been made. Support from the career award will continue during such leave.

Leave without award support may not exceed 12 months. Such leave requires the prior written approval of the NIH funding component and will be granted only in unusual situations. Support from other sources is permissible during the period of leave. Such leave does not reduce the total number of months of program support for which an individual is eligible. Parental leave will be granted consistent with the policies of the NIH and the grantee institution.

H. Termination or Change of Institution: When a grantee institution plans to terminate an award, the NIH funding component must be notified in writing at the earliest possible time so that appropriate instructions can be given for termination. If the individual is moving to another eligible institution, career award support may be continued provided:

A new career award application is submitted by the new institution;

The period of support requested is no more than the time remaining within the existing award period; and

The new application is submitted far enough in advance of the requested effective date to allow the necessary time for review.

The funding component may require a new review by an initial review group and/or the appropriate National Advisory Council or Board. Alternatively, review may be carried out by staff within the NIH funding component depending upon the circumstances.

The Director of the NIH may discontinue an award upon determination that the purpose or terms of the award are not being fulfilled. In the event an award is terminated, the Director of the NIH shall notify the grantee institution and career award recipient in writing of this determination, the reasons therefore, the effective date, and the right to appeal the decision.

A final progress report, invention statement, and Financial Status Report are required upon either termination of an award or relinquishment of an award in a change of institution situation.

INCLUSION OF WOMEN AND MINORITIES IN RESEARCH INVOLVING HUMAN SUBJECTS

It is the policy of the NIH that women and members of minority groups and their subpopulations must be included in all NIH supported biomedical and behavioral research projects involving human subjects, unless a clear and compelling rationale and justification is provided that inclusion is inappropriate with respect to the health of the subjects or the purpose of the research. This new policy results from the NIH Revitalization Act of 1993 (Section 492B of Public Law 103-43) and supersedes and strengthens the previous policies (Concerning the Inclusion of Women in Study Populations, and Concerning the Inclusion of Minorities in Study Populations) which have been in effect since 1990. The new policy contains some new provisions that are substantially different from the 1990 policies. All investigators proposing research involving human subjects should read the "NIH Guidelines For Inclusion of Women and Minorities as Subjects in Clinical Research," which have been published in the Federal Register of March 28, 1994 (FR 59 14508-14513), and reprinted in the NIH GUIDE FOR GRANTS AND CONTRACTS of March 18, 1994, Volume 23, Number 11.

Investigators may obtain copies from these sources or from the program staff or contact person listed under INQUIRIES. Program staff may also provide additional relevant information concerning the policy.

APPLICATION PROCEDURES

This is a generic program announcement for the NIH Academic Career Award (K07). It is strongly recommended that prospective applicants contact the staff person in the relevant institute or center listed under INQUIRIES early in the planning phase of application preparation to discuss research areas of interest and award provisions, which differ across NIH funding components. Such contact will help ensure that applications are responsive to the career development goals of individual institutes and centers.

Applications are to be submitted on form PHS 398 (rev. 9/91) and will be accepted on or before the receipt deadlines indicated in the application kit (February 1, June 1 and October 1). Forms are available at most institutional offices of sponsored research and from the Office of Grants Information, Division of Research Grants, NIH, 5333 Westbard Avenue, Room 449, Bethesda, MD 20892, telephone 301/435-0714.

Applicants are strongly advised to follow the instructions in the PHS form 398. The application should include:

Candidate

- o Describe the candidate's commitment to an academic research career in the area of interest to the NIH.
- o Provide evidence that the candidate has the capacity to provide leadership as a teacher or researcher.
- o Describe the immediate and long-term career objectives and how those objectives will meet the needs for expansion or enhancement of the academic or research capacity in a field of research of interest to the NIH funding component.
- o Letters of recommendation. Candidates for the development Academic Award must provide three sealed letters of recommendation addressing the applicant's potential for a research career must be included as part of the application.

Career Development Plan

- o Describe the career development plan incorporating consideration of the candidate's goals and prior experience. Describe the plan to obtain the necessary research and pedagogical experience to facilitate further development as an academician. The career development plan must be tailored to the career goals of the candidate and the intent of the award.
- o Candidates for the development award must describe plans to receive instruction in the responsible conduct of research. These plans must detail the proposed subject matter, format, frequency, and duration of instruction as well as the amount and nature of faculty participation.

Candidates at the leadership stage must include information about his/her participation in courses designed to provide instruction in the responsible conduct of research.

Research Plan

o Describe the research plan. The applicant should describe the research plan necessary to initiate academic and research development in the area of interest to the NIH funding component. The plan should be described as outlined in form PHS 398, Specific Aims, Background and Significance, Progress Report/Preliminary Studies, Research Design and Methods. Candidates for the development award should coordinate the development of the research plan with their prospective mentor.

Environment and Institutional Commitment

o The institution must provide evidence of commitment and support for the proposed experience. There must be evidence of support for the candidate and his/her career development plan and for the further enhancement of the academic area of interest to the NIH funding component.

Mentor's Statement

o Candidates for the development Academic Award must include information on the mentor(s) including his/her research qualifications and previous experience as a research supervisor. The application must also include information describing the nature and extent of supervision that will occur during the proposed award period.

Budget

o Budget requests must be provided according to the instructions in form PHS 398. The request for tuition and fees, books, travel, etc., must be justified and specified by category.

To identify the application as a response to this PA, check "YES" on item 2a of page 1 of the application and enter "PA-95-052, Academic Career Award" and the name of the NIH institute or center that you would like the application to be assigned.

Submit a signed, typewritten original of the application with Checklist, and five signed photocopies, in one package to:

Division of Research Grants
National Institutes of Health
6701 Rockledge Drive, Room 1040 MSC 7710
Bethesda, MD 20892-7710
Bethesda, MD 20817 (for express/courier service)

REVIEW CONSIDERATIONS

Applications will be reviewed for completeness by the Division of Research Grants and responsiveness to the PA by the appropriate institute or center staff. Incomplete or nonresponsive applications will be returned to the applicant without further consideration. Applications that are complete and responsive to the program announcement will be evaluated for scientific and technical merit by an appropriate peer review group convened in accordance with the standard NIH peer review procedures. As part of the initial merit review, all applications will receive a written critique and undergo a process in which only those applications deemed to have the highest scientific merit, generally the top half of applications under review, will be discussed, assigned a priority score, and receive a second level review by the appropriate national advisory council or board.

The following review criteria will be applied:

Candidate

- o Evidence of excellence in academic, research, and (where appropriate) clinical activities;
- o Potential to become an outstanding investigator, teacher, resource person, and leader in research, educational and (where appropriate) clinical programs related to the mission of the NIH award component;
- o Potential to become or to continue as an independent researcher;
- o Quality and breadth of prior scientific training and experience; and
- o Degree and extent of previous research support and publications considering academic level of candidate.

Career Development Plan

- o Quality and feasibility of the candidate's career development plan, including, in broad terms, plans after termination of award.

- O Quality of the proposed plan to enhance pedagogical and leadership skills.

Research Plan

- o Quality and feasibility of research and teaching plan;

- o Relationship of the research plan to the career development goals and the candidate's previous experience; and

- o adequacy of plans to include both genders and minorities and their subgroups as appropriate for the scientific goals of the research. Plans for the recruitment and retention of subjects will also be evaluated.

Environment

- o Commitment of the institution to strengthening research and education activities in the area of interest to the NIH institute or center;

- o Merit of the institution plan to strengthen research and training activities beyond the current status of activities and capacities; and

- o Scope and nature of collaboration among participating schools and departments.

Mentor

- o For the development academic award, the mentor's prior experience and record in fostering academic growth and productivity.

Budget

- o Justification of budget requests in relation to career development goals and research aims and plans;

AWARD CRITERIA

The institute or center will notify the applicant of the board or council's action shortly after its meeting. Funding decisions will be made based on the recommendations of the initial review group and council/board, the need for research personnel in specific program areas, and the availability of funds.

INQUIRIES

Written and telephone inquiries concerning this PA are encouraged especially during the planning phase of the application. Below is a listing of each institute's or center's program or grants management contacts.

Dr. Robin A. Barr
Office of Extramural Affairs
National Institute on Aging
Gateway Building, Room 2C218, MSC 9205
7201 Wisconsin Avenue
Bethesda, MD 20892-9205
Telephone: (301) 496-9322
FAX: (301) 402-9245
Email: Barr@nihniagw.bitnet

Dr. Ernestine D. Vanderveen, Ph.D.
Division of Basic Research
National Institute on Alcohol Abuse and Alcoholism
6000 Executive Boulevard, Suite 402 MSC 7003
Bethesda, MD 20892-7003
Telephone: (301) 443-1273
FAX: (301) 594-0673
Email: tvanderv@willco.niaaa.nih.gov

Ms. Frances Cotter
Division of Clinical and Prevention Research
National Institute on Alcohol Abuse and Alcoholism
6000 Executive Boulevard, Suite 505 MSC 7003
Bethesda, MD 20892-7003

Telephone: (301) 443-1207
FAX: (301) 443-8744
Email: fcotter@willco.niaaa.nih.gov

Dr. Mary C. Dufour
Division of Biometry and Epidemiology
National Institute on Alcohol Abuse and Alcoholism
6000 Executive Boulevard, Suite 514 MSC 7003
Bethesda, MD 20892-7003
Telephone: (301) 443-4897
FAX: (301) 443-8614
Email: m.dufour@willco.niaaa.nih.gov

Richard Lymn, Ph.D.
Extramural Programs
National Institute on Arthritis and Musculoskeletal and Skin Diseases
Natcher Building, Room 5AS-49E MSC 6500
Bethesda, MD 20892-6500
Telephone: (301) 594-5128
FAX: (301) 480-4543
Email: rl28b@nih.gov

Dr. John Schneider or Dr. Andrew Vargosko
Division of Cancer Biology, Diagnosis, and Centers
National Cancer Institute
Executive Plaza North, Room 520
Bethesda, MD 20892
Telephone: (301) 496-8580
FAX: (301) 402-4472
Email: schneidj@dcibdcep.nci.nih.gov
Email: vargoska@dcibdcep.nci.nih.gov

Dr. Annette Kirshner
Division of Extramural Research and Training
National Institute of Environmental Health Sciences
P.O. Box 12233, MD 3-03
Research Triangle Park, NC 27709

Telephone: (919) 541-0488
FAX: (919) 541-2843
Email: kirshner@niehs.nih.gov

National Heart, Lung, and Blood Institute
(The NHLBI does not accept applications for the Academic Career Award on a regular basis. It does, however, issue Requests for Applications (RFAs) using this award as programmatic needs arise.)

George T. Niederehe, Ph.D.
Division of Clinical and Treatment Research
National Institute of Mental Health
5600 Fishers Lane, Room 18-105
Rockville, MD 20857
Telephone: (301) 443-3264
FAX: (301) 594-6784
Email: gniedere@aoamh4.ssw.dhhs.gov

AUTHORITY AND REGULATIONS

The Academic Career Awards are made under the authority of Title III, Section 301 of the Public Health Service (PHS) Act as amended (Public Law 78-410, as amended, 42 USC 241). The Code of Federal Regulations, Title 42 Part 52, and Title 45 part 74, are applicable to this program. This program is described in the Catalog of Federal Domestic Assistance No. 93.121. This program is not subject to the intergovernmental review requirements of Executive Order 12372 or Health Systems Agency review.

The PHS strongly encourages all grant and contract recipients to provide a smoke-free workplace and promote the non-use of all tobacco products. In addition, Public Law 103-227, the Pro-Children Act of 1994, prohibits smoking in certain facilities (or in some cases, any portion of a facility) in which regular or routine education, library, day care, health care or early childhood development services are provided to children. This is consistent with the PHS mission to protect and advance the physical and mental health of the American people.

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